

**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:

Takaei SASAKI et al

Application No.: New Application

Filed: November 14, 2003

Group Art Unit:

Examiner:

Atty. Dkt. No.: 101136-00101

For: METHOD AND APPARATUS FOR DRY-ETCHING HALF-TONE  
PHASE-SHIFT FILMS, HALF-TONE PHASE-SHIFT PHOTOMASKS  
AND METHOD FOR THE PREPARATION THEREOF, AND  
SEMICONDUCTOR CIRCUITS AND METHOD FOR THE  
FABRICATION THEREOF

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

November 14, 2003

Sir:

Pursuant to 37 CFR §1.56, the attention of the Patent and Trademark Office is hereby directed to the information item(s) listed on the attached PTO-1449. Unless otherwise indicated herein, one copy of each item(s) is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the item(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date or the date of filing a CPA, OR (b) before the mailing date of a first Office Action on the merits in the present application, or (c) accompanies a Request for Continued Examination. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

- ☐ c. A check in the amount of \$180.00 in payment of the fee under 37 CFR §1.17(p). Please charge any fee deficiency or credit any overpayment to Deposit Account No. 01-2300 as needed to ensure consideration of the disclosed information.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check in the amount of \$130.00 in payment of the petition fee under 37 CFR §1.17(i)(1). Please charge any fee deficiency or credit any overpayment to Deposit Account No. 01-2300 as needed to ensure consideration of the disclosed information.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).
- ☒ 4. The references were cited by or submitted to the Office in parent application No. 09/361,158, filed July 27, 1999, which is relied upon for an earlier filing date under 35 U.S.C. §120. Thus, copies of these references are not attached. 37 CFR §1.98(d).

Respectfully submitted,

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RKC:mmg

Enclosure: PTO-1449 Form

|                                                                                                                                                                                     |                                  |                          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|--------------------------|
| FORM PTO-1449<br><br>U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br><b>LIST OF REFERENCES CITED BY APPLICANT</b><br><br><i>(Use several sheets if necessary)</i> | ATTY. DOCKET NO.<br>101136-00101 | SERIAL NO.<br>New Appln. |
|                                                                                                                                                                                     | APPLICANT<br>Takaei SASAKI et al |                          |
|                                                                                                                                                                                     | FILING DATE<br>November 14, 2003 | GROUP                    |

**U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NO. | DATE    | NAME          | CLASS | SUB-<br>CLASS | FILING<br>DATE |
|---------------------|----|-----------------|---------|---------------|-------|---------------|----------------|
|                     | AA | 3,951,709       | 4/20/76 | JACOB         |       |               |                |
|                     | AB | 4,203,800       | 5/20/80 | KITCHER et al |       |               |                |
|                     | AC | 3,923,568       | 12/1975 | BERSIN        |       |               |                |
|                     | AD | 5,340,684       | 8/2394  | HAYASE et al  |       |               |                |
|                     | AE |                 |         |               |       |               |                |
|                     | AF |                 |         |               |       |               |                |

**FOREIGN PATENT DOCUMENTS**

|  |    | DOCUMENT<br>NO. | DATE     | COUNTRY | CLASS | SUB-<br>CLASS | TRANSLATION<br>YES NO PART. |  |    |
|--|----|-----------------|----------|---------|-------|---------------|-----------------------------|--|----|
|  | AG | 7-140635        | 6/02/95  | Japan   |       |               |                             |  | XX |
|  | AH | 6-347996        | 12/22/94 | Japan   |       |               |                             |  | XX |
|  | AI | 2,765,065       | 4/03/98  | Japan   |       |               |                             |  | XX |
|  | AJ | 6-230557        | 8/19/94  | Japan   |       |               |                             |  | XX |
|  | AK |                 |          |         |       |               |                             |  |    |
|  | AL |                 |          |         |       |               |                             |  |    |

**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

|  |    |  |
|--|----|--|
|  | AM |  |
|  | AN |  |
|  | AO |  |

|                                                                                                                                                                                                                                                  |                 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| EXAMINER                                                                                                                                                                                                                                         | DATE CONSIDERED |
| <b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                 |